

DEPARTMENT OF HEALTH AND HUMAN SERVICES
CENTERS FOR MEDICARE & MEDICAID SERVICES

PRINTED: 12/10/2014
FORM APPROVED
OMB NO. 0938-0391

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 157163	(X2) MULTIPLE CONSTRUCTION A. BUILDING _____ B. WING _____		(X3) DATE SURVEY COMPLETED C 10/01/2014
NAME OF PROVIDER OR SUPPLIER ANCHOR HOME HEALTH CARE			STREET ADDRESS, CITY, STATE, ZIP CODE 1351 SILHAVY RD STE 200 VALPARAISO, IN 46383		
(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETION DATE	
G 000	<p>INITIAL COMMENTS</p> <p>This was a federal home health complaint investigation.</p> <p>Complaints: IN00156773 - Substantiated: Federal deficiencies related to the allegation are cited. Unrelated deficiencies are also cited.</p> <p>Survey Date: 9/24/14 - 10/1/14</p> <p>Facility #: IN005336</p> <p>Medicaid #: 100264420A</p> <p>Surveyors: Ingrid Miller, MS, BSN, RN, Public Health Nurse Surveyor Michelle Weiss, MSN, RN, Public Health Nurse Surveyor</p> <p>Anchor Home Health Care is precluded from providing its own home health aide training and competency evaluation program for a period of 2 years beginning 8/14/14 - 8/14/16 due to being found out of compliance with the Conditions of Participation 42 CFR 484.14 Organization, services, and administration, 484.18 Acceptance of Patients, Plan of Care, and Medical Supervision, and 484.30 Skilled Nursing Services.</p> <p>The Administrator informed of the above-stated preclusion at the exit conference held on 9/25/14 at 5:40 PM .</p> <p>This survey was extended due to additional documentation review and interview on 10/1/14.</p> <p>Quality Review: Joyce Elder, MSN, BSN, RN</p>	G 000			

LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

TITLE

(X6) DATE

10/15/2014

Any deficiency statement ending with an asterisk (*) denotes a deficiency which the institution may be excused from correcting providing it is determined that other safeguards provide sufficient protection to the patients. (See instructions.) Except for nursing homes, the findings stated above are disclosable 90 days following the date of survey whether or not a plan of correction is provided. For nursing homes, the above findings and plans of correction are disclosable 14 days following the date these documents are made available to the facility. If deficiencies are cited, an approved plan of correction is requisite to continued program participation.

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G 000	Continued From page 1 October 9, 2014	G 000			
G 121	<p>This survey was modified as the result of an IDR 11/19/14. je</p> <p>484.12(c) COMPLIANCE W/ ACCEPTED PROFESSIONAL STD</p> <p>The HHA and its staff must comply with accepted professional standards and principles that apply to professionals furnishing services in an HHA.</p> <p>This STANDARD is not met as evidenced by: Based on interview, review of clinical records, and review of policies and procedures, the agency failed to ensure the registered nurse (Employee A) performed tracheostomy / ventilator care in accordance with agency policy and procedures in 1 of 1 closed record reviewed (1).</p> <p>Findings</p> <p>1. Clinical record #1, start of care 6/10/13, included a plan of care for the certification period of 8/4/14 - 10/2/14. Documentation evidenced Employee A had difficulty with an outer trach (tracheostomy) tube change that occurred on 9/5/14 at 11:20 AM. This was documented by Employee A on a clinical note dated 9/5/14 at 11:20 AM and on a treatment flow sheet. During this time frame, the patient had a pulse of 98. Documentation at the visit on 9/5/14 failed to evidence that a smaller trach tube was available for patient safety if difficulty occurred in reinserting the outer trach tube and a manual resuscitator bag had been used. The patient did not have do not resuscitate orders. Agency policy</p>	G 121			10/15/14

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G 121	<p>Continued From page 2</p> <p>and procedures were not followed as evidenced by the following:</p> <p>A. The plan of care failed to include physician orders for a outer trach tube change that occurred on 9/5/14. This unsigned modified order had not been presented to the physician until 9/25/14 and was not signed by the physician at that time.</p> <p>1.) A clinical document titled "Modified Orders" with a date of 8/4/14 stated, "Addendum to plan of care 8/4/14 - 10/2/14: SN [Skilled Nurse] Trach Care; change monthly, inner cannula."</p> <p>2.) On 9/24/14 at 5:20 PM, Employee A indicated performing an outer trach tube change on 9/5/14 at approximately 11:20 AM. Employee A indicated that after he pulled out the outer trach tube he encountered difficulty reinserting the new outer trach tube due to a coughing spell by patient #1. He called 911. He lowered the bed for the procedure. The patient's blood pressure was 95 / 63 and oxygen saturation rate was dropping so he had the oxygen turned all the way up. He had attached a nebulizer airway at the T on the circuit and partially reinserted the outer trach tube to get air to the patient. When the emergency responders arrived, they ventilated the patient with an ambu bag at the patient's mouth and nose and transported the patient to the hospital. He indicated the patient's G tube feeding had been clamped off 20 minutes prior to this incident, the head of the bed had been raised, and then lowered for this outer trach tube procedure. He indicated the outer trach tube changes had not occurred in July or August. The treatment record was used to give and note care</p>	G 121			

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G 121	<p>Continued From page 3</p> <p>to the patient on a daily basis by the skilled nursing staff. He would copy the treatment record from the month before to make a new treatment record for the current month. He used the plan of care from the clinical record if any treatment changes occurred. He did not know why the outer trach tube change was not on the current plan of care. He had completed many outer trach tube changes with this patient and indicated once having difficulty with this trach tube change. He did not remember when the difficulty occurred (This was not found in the clinical record). He indicated taking himself off vent and trach care of patients after this incident and told the clinical director of his request.</p> <p>3.) On 9/25/14 at 5:40 PM, the administrator indicated the physician refused to sign orders presented to the physician by the marketer who had visited his office on 9/25/14 around 5:30 PM.</p> <p>4.) On 10/1/14 at 11 AM, a physician's nurse and office manager indicated the above modification order was presented to the physician at his office on 9/25/14 by the agency marketer. The physician's staff indicated the physician had refused to sign the order since this was not a task [outer trach tube change] assigned to the home health agency. This order had not been given to the physician prior to this date.</p> <p>B. Documentation failed to evidence there was a smaller trach tube at the bedside of patient #1 on 9/5/14 when Employee A had difficulty reinserting the new outer trach tube. Documentation failed to evidence Employee A manually resuscitated the patient.</p>	G 121			

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G 121	<p>Continued From page 4</p> <p>1.) A document from the clinical record of patient #1 titled "Clinical Note" dated 9/5/14 failed to evidence any smaller size outer trach tubes were in the home. Employee A did not manually resuscitate the patient.</p> <p>2.) On 9/24/14 at 5:20 PM, Employee A indicated not having a smaller trach tube on hand at bedside of patient #1 on 9/5/14 at 11:20 AM. He did indicate having many outer trach tubes of the normal size. He had attached a nebulizer airway at the T on the circuit and partially reinserted the outer trach tube to get air to the patient at this incident.</p> <p>2. The following agency policies and procedures were not followed as evidenced below:</p> <p>A. The agency procedure titled "Emergency Procedures" from page 35 from the Anchor Home Health Care Respiratory Orientation Manual with no date stated, "Manipulation of the tube during suctioning or tracheostomy care can lead to tube displacement ... If the tracheostomy tube accidentally falls out, attempt to replace the tube immediately. In order to provide the patient with a patent airway, the most appropriate actions should be taken: 1. Replace the tracheostomy tube, using the sterile tracheostomy tube or 2. Reinsert the original tube or 3. Occlude the stoma and use the manual resuscitator bag and mask to ventilate the patient at a rate of 8 to 16 times per minute until medical assistance can be summoned ... during tube reinsertion, observe the patient's color and if possible have someone count his pulse rate. If his color is bluish or the pulse rate changes significantly, stop trying to insert the tube, occlude the stoma and ventilate with the manual resuscitator bag and mask until</p>	G 121			

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G 121	<p>Continued From page 5</p> <p>medical assistance can be obtained. If the patient can not breathe on his own, you must reinsert the tube within 30 seconds or ventilate until reinsertion is possible. You may want to have access to a trach tube whose size is 1 size smaller than the tube the patient uses. Inserting this tube will be easier than the standard tube if the airway is swollen."</p> <p>B. The agency procedure titled "Management of Home Ventilators" with no date stated, "To provide guidelines for home health nurses and other caregivers who care for ventilator dependent clients, to promote safety in management of high tech care in the home setting, to promote self care in the home. Applies to Registered Nurses ... Care coordination activities including contact with physician."</p> <p>C. The agency procedure titled "Changing a Tracheostomy Tube" with no date stated, "To change the client's tracheostomy tube ... applies to Registered Nurses ... Procedure 1. Wash hands ... 2. DON clean gloves. 3. Suction the client per Tracheostomy suctioning procedure. 4. Prepare new tracheostomy tube ... 5. Cut existing tracheostomy ties; hold tube in place with non - dominant hand. 6. Pick up new tube in dominant hand. 7. Gently remove existing tracheostomy tube and insert lubricated outer cannula with obturator into stoma. Insert downward and inward. 8. Following insertion, remove obturator, insert inner cannula and 'lock' it into place. If the client is on a ventilator, reconnect within 30 seconds. 9. Secure the tube in place with clean ties and dressing per Tracheostomy Care procedure ... 12. Check cuff seal for leakage."</p> <p>D. The agency procedure titled</p>	G 121			

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G 121	<p>Continued From page 6</p> <p>"Tracheostomy Care" with no date stated, "This includes a comprehensive plan that includes securing the tube, inflating the cuff, maintaining patency by suctioning and ensuring communication .. to maintain airway patency."</p> <p>E. The agency procedure "Tracheostomy Care FYI's" with no date stated, "Always keep the obturator available for emergencies ... keep a trach 1 size smaller available at the bedside in case you are unable to insert the regular size."</p> <p>F. The procedure titled "Mechanical Ventilation" with no date stated, "To prevent hypoxia due to alteration or cessation of respirations. To provide uninterrupted ventilator support ... applies Registered Nurses ... Manual ventilation 1. Administer air to the lungs through resuscitation or ambu bag when needed, such as during suctioning, tracheostomy care ... during ventilator failure. 2. When using resuscitation or Ambu Bag, disconnect the ventilator circuit and connect the bag valve to the tracheotomy tube."</p> <p>G. The policy titled "Agency Compliance" with a date of 8/4/00 stated, "It is the policy ... to adhere to and be in compliance with the laws, rules, and regulations of ... all federal, state, and other regulatory bodies having jurisdiction over the home care industry."</p> <p>H. The agency policy titled "Physician's Plan of Care" with a date of 9/17/12 stated, "It is the policy of Anchor Home Health Care that home health care services are furnished under the general supervision of a doctor of medicine ... based on a written Plan of Care that is established and periodically reviewed by the doctor to ensure the appropriateness and</p>	G 121			

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G 121	<p>Continued From page 7</p> <p>necessity of home care services relative to the patient's condition. All clinical services are implemented only in accordance with a plan of care established by a physician's written orders."</p> <p>I. The agency policy titled "Verification of Physician's Orders" with a date of 9/17/12 stated, "It is the policy ... to obtain physician orders to provide patient / client treatment and services. 2. To revise, amend, or supplement the Physician's Plan of care."</p> <p>J. The agency policy titled "Scope of Services" with a date of 9/7/06 stated, "Anchor Home Health Services provides traditional and high tech home health care services to patient / client / clients ... Services are provided as follows ... Nursing care services ... Nursing care services are provided in accordance with the physician's plan of care ... Develop and revise the nursing care plan, if directed by federal / state / local regulations. Direct nursing care, perform health counseling and teaching of the direct service staff and the patient / client and family. Collaborate in the implementations and coordination of the total health care regimen and execute the medical regime under the direction of a licensed physician. Initiate appropriate preventative and rehabilitative nursing procedures and referrals to other services as needed ... 6. Anchor will provide high tech nursing, e.g. ventilators ... under the direction of the patient / client's physician."</p> <p>K. The agency policy titled "Nursing Care Services" with a date of 9/1/06 stated, "Nursing care services are provided in accordance with the physician's plan of care ... The Clinical supervisor or staff RN will complete the nursing initial and</p>	G 121			

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G 121	Continued From page 8 ongoing comprehensive assessments including the OASIS data sets at appropriate time points at appropriate time points as required, develop or revise the nursing care plan, as directed by federal / state / local regulations, direct nursing care ... collaborate in the implementation and coordination of the total health care regimen and execute the medical regime under the direction of a licensed physician ... Anchor will assure that nursing staff sent to care for high tech patients/ clients are competent in the specific care modality required by the patient / client."	G 121			
G 122	484.14 ORGANIZATION, SERVICES & ADMINISTRATION This CONDITION is not met as evidenced by: Based on clinical record review, policy and procedure review, document review, personnel file review, and interview, it was determined the personnel policies were not followed in 7 of 8 personnel records reviewed (See G 141) and the agency failed to ensure all personnel communicated with the physician about tracheostomy / ventilator care in 1 of 7 records reviewed of patients with a tracheostomy (G 143 and G 144).	G 122		10/15/14	
G 141	The cumulative effect of these systemic problems resulted in the agency's inability to meet the requirements of the Condition of Participation 484.14 Organization, Services, and Administration. 484.14(e) PERSONNEL POLICIES	G 141		10/15/14	

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G 141	<p>Continued From page 9</p> <p>Personnel practices and patient care are supported by appropriate, written personnel policies.</p> <p>Personnel records include qualifications and licensure that are kept current.</p> <p>This STANDARD is not met as evidenced by: Based on personnel file, document, and policy review and interview, the agency failed to ensure the personnel policies were followed in 7 of 8 employee records reviewed (Employees A - G and I) of staff who cared for tracheostomy / ventilator patients (#1 - 7).</p> <p>Findings</p> <ol style="list-style-type: none"> 1. Employee A, Registered Nurse (RN), date of hire 5/5/11, failed to evidence a peer review assessment or a comprehensive written test had been completed on ventilator / tracheostomy care before the staff member cared for patients #1 and #3, patients with ventilator / tracheostomy care. 2. Employee B, Licensed Practical Nurse (LPN), date of hire 5/26/07, failed to evidence a peer review assessment or a comprehensive written test had been completed on ventilator / tracheostomy care before this staff member cared for patient #4, an active patient with tracheostomy care. 3. Employee C, LPN, date of hire 1/12/11, failed to evidence a peer review assessment or a comprehensive written test had been completed on ventilator / tracheostomy care before this staff member cared for patient #2, an active patient 	G 141			

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G 141	<p>Continued From page 10 with ventilator and tracheostomy care.</p> <p>4. Employee D, RN, date of hire 7/26/14, failed to evidence a peer review assessment or a comprehensive written test had been completed on ventilator / tracheostomy care before this staff member care for patient #7, an active patient with tracheostomy and ventilator care.</p> <p>5. Employee E, RN date of hire 2/8/14, failed to evidence a peer review assessment or a comprehensive written test had been completed on ventilator / tracheostomy care before this staff member cared for patient #7, an active patient with tracheostomy and ventilator care.</p> <p>6. Employee F, LPN, date of hire 3/24/05, failed to evidence a peer review assessment or a comprehensive written test had been completed on tracheostomy care before this staff member cared for patient #6 a tracheostomy patient.</p> <p>7. Employee G, LPN, date of hire 5/17/10, failed to evidence a peer review assessment or a comprehensive written test had been completed on tracheostomy care before this staff member cared for patient #6 a tracheostomy patient.</p> <p>8. On 9/25/14 at 4:45 PM, Employee M, the human resources director indicated the personnel files were not complete since the peer reviews and tests and competencies were not in the personnel files. Employee M indicated Employee A's file did not show the ventilator / tracheostomy competency was completed. None of the personnel files reviewed had a competency test for ventilator / tracheostomy care in the files. None of the personnel files reviewed had a peer review assessment in the files.</p>	G 141			

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G 141	Continued From page 11 9. The agency policy titled "Orientation Process" with a date of 9/10/12 stated, "Human resources and the appropriate clinical supervisor will ensure that all direct patient care providers are oriented to Anchor Health Systems." 10. The agency policy titled "Qualifications of Staff - Ventilator" with a date of 9/1/06 stated, "Mechanical ventilation dependent patient / clients will be cared for by qualified staff ... To assure services are provided by qualified staff. Procedure: 1. RNs / LPNs who care for private duty ventilator patient / clients must demonstrate competency in ventilator care. This may be accomplished in two ways: 1.1 For those employees with little or no ventilator experience or those who feel they would benefit from an extended orientation program: attendance at Anchor's ventilator care training including a post test and peer review in a home, prior to independently caring for the ventilator dependent patient / client. 1.2 For those employees with ventilator experience, a written comprehensive test must be completed. 2. RN / LPNs will complete the orientation skills checklist which is kept in the personnel file on hire and annually."	G 141			
G 143	484.14(g) COORDINATION OF PATIENT SERVICES All personnel furnishing services maintain liaison to ensure that their efforts are coordinated effectively and support the objectives outlined in the plan of care. This STANDARD is not met as evidenced by: Based on clinical record review, agency policy	G 143		10/15/14	

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NAME OF PROVIDER OR SUPPLIER ANCHOR HOME HEALTH CARE			STREET ADDRESS, CITY, STATE, ZIP CODE 1351 SILHAVY RD STE 200 VALPARAISO, IN 46383		
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G 143	<p>Continued From page 12</p> <p>and procedure review, and interview, the agency failed to ensure all personnel communicated with the physician about tracheostomy / ventilator care in 1 of 7 records reviewed of patients with a tracheostomy (#1).</p> <p>Findings</p> <ol style="list-style-type: none"> 1. Clinical record #1, start of care 6/10/13 with a diagnosis of chronic respiratory failure, failed to evidence communication notes between the agency staff and the physician about difficulty performing outer tracheostomy (trach) tube changes with patient #1. 2. On 9/25/14 at 5:20 PM, Employee A, Registered Nurse, indicated having difficulties with the outer trach tube change with patient #1 in the past. 3. On 10/1/14 at 11 AM, a physician's nurse and office manager indicated the physician had not been notified that the agency was performing outer trach tube changes including the outer trach tube change on 9/5/14 by Employee A. The physician was the physician for patient #1. 4. The agency policy titled "Coordination of Care" with a date of 3/1/04 stated, "It is the policy of Anchor to provide coordination of care for all patients ... The clinical coordinator, clinical supervisor, or designated primary RN ... acts as the case manager to coordinate services to implement the physician's plan of care through out the treatment plan." 5. The agency procedure titled "Management of Home Ventilators" with no date stated, "To provide guidelines for home health nurses and 	G 143			

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G 143	Continued From page 13 other caregivers who care for ventilator dependent clients, to promote safety in management of high tech care in the home setting, to promote self care in the home. Applies to Registered Nurses ... Care coordination activities including contact with physician."	G 143			
G 144	484.14(g) COORDINATION OF PATIENT SERVICES The clinical record or minutes of case conferences establish that effective interchange, reporting, and coordination of patient care does occur. This STANDARD is not met as evidenced by: Based on clinical record review, agency policy and procedure review, and interview, the agency failed to ensure all personnel communicated with the physician about tracheostomy / ventilator care in 1 of 7 records reviewed of patients with a tracheostomy (#1). Findings 1. Clinical record #1, start of care 6/10/13 with a diagnosis of chronic respiratory failure, failed to evidence communication notes between the agency staff and the physician about difficulty performing outer tracheostomy (trach) tube changes with patient #1. 2. On 9/25/14 at 5:20 PM, Employee A, Registered Nurse, indicated having difficulties with the outer trach tube change with patient #1 in the past.	G 144		10/15/14	

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G 156	Continued From page 15 165) and failed to ensure the plan of care included an order to change a tracheostomy tube treatments completed by the staff (A) for 1 of 4 clinical records reviewed of patients with outer tracheostomy tube changes the agency performed (See G 159). The cumulative effect of these systemic problems resulted in the agency being found out of compliance with the Condition of Participation 484.18 Acceptance of Patients, Plan of Care, and Medical Supervision.	G 156			
G 158	484.18 ACCEPTANCE OF PATIENTS, POC, MED SUPER Care follows a written plan of care established and periodically reviewed by a doctor of medicine, osteopathy, or podiatric medicine. This STANDARD is not met as evidenced by: Based on clinical record review, policy review, and interview, the agency failed to ensure visits and treatments were provided only as ordered on the plan of care for 1 of 7 records reviewed of patients with a tracheostomy (#1). Findings 1. Clinical record #1, start of care 6/10/13, included a plan of care for the certification period of 8/4/14 - 10/2/14. Documentation evidenced Employee A had difficulty with an outer trach (tracheostomy) tube change that occurred on 9/5/14 at 11:20 AM. This was documented by Employee A on a clinical note dated 9/5/14 at 11:20 AM and on a treatment flow sheet.	G 158		10/15/14	

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G 158	<p>Continued From page 16</p> <p>A. The plan of care failed to include physician orders for a outer trach tube change that occurred on 9/5/14. This unsigned modified order had not been presented to the physician until 9/25/14 and was not signed by the physician at that time.</p> <p>1.) A clinical document titled "Modified Orders" with a date of 8/4/14 stated, "Addendum to plan of care 8/4/14 - 10/2/14: SN [Skilled Nurse] Trach Care; change monthly, inner cannula."</p> <p>2.) On 9/24/14 at 5:20 PM, Employee A indicated performing an outer trach tube change on 9/5/14 at approximately 11:20 AM. Employee A indicated that after he pulled out the outer trach tube he encountered difficulty reinserting the new outer trach tube due to a coughing spell by patient #1. He called 911. He lowered the bed for the procedure. The patient's blood pressure was 95 / 63 and oxygen saturation rate was dropping so he had the oxygen turned all the way up. He had attached a nebulizer airway at the T on the circuit and partially reinserted the outer trach tube to get air to the patient. When the emergency responders arrived, they ventilated the patient with an ambu bag at the patient's mouth and nose and transported the patient to the hospital. He indicated the patient's G tube feeding had been clamped off 20 minutes prior to this incident, the head of the bed had been raised, and then lowered for this outer trach tube procedure. He indicated the outer trach tube changes had not occurred in July or August. The treatment record was used to give and note care to the patient on a daily basis by the skilled nursing staff. He would copy the treatment</p>	G 158			

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G 158	<p>Continued From page 17</p> <p>record from the month before to make a new treatment record for the current month. He used the plan of care from the clinical record if any treatment changes occurred. He did not know why the outer trach tube change was not on the current plan of care. He had completed many outer trach tube changes with this patient and indicated once having difficulty with this trach tube change. He did not remember when the difficulty occurred (This was not found in the clinical record).</p> <p>3.) On 9/25/14 at 5:40 PM, the administrator indicated the physician refused to sign orders presented to the physician by the marketer who had visited his office on 9/25/14 around 5:30 PM.</p> <p>4.) On 10/1/14 at 11 AM, physician's nurse and office manager (this was the physician of patient #1) indicated the above modification order was presented to the physician at his office on 9/25/14 by the agency marketer. The physician's staff indicated the physician had refused to sign the order since this was not a task (outer trach tube change) assigned to the home health agency. This order had not been given to the physician prior to this date.</p> <p>2. The agency policy titled "Physician's Plan of Care" with a date of 9/17/12 stated, "It is the policy of Anchor Home Health Care that home health care services are furnished under the general supervision of a doctor of medicine ... based on a written Plan of Care that is established and periodically reviewed by the doctor to ensure the appropriateness and necessity of home care services relative to the</p>	G 158			

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G 158	Continued From page 18 patient's condition. All clinical services are implemented only in accordance with a plan of care established by a physician's written orders." 3. The agency policy titled "Verification of Physician's Orders" with a date of 9/17/12 stated, "It is the policy ... to obtain physician orders to provide patient / client treatment and services. 2. To revise, amend, or supplement the Physician's Plan of care." 4. The agency policy titled "Nursing Care Services" with a date of 9/1/06 stated, "Nursing care services are provided in accordance with the physician's plan of care. The Clinical supervisor or staff RN will complete the nursing initial and ongoing comprehensive assessments including the OASIS data sets at appropriate time points at appropriate time points as required, develop or revise the nursing care plan, as directed by federal / state / local regulations, direct nursing care ... collaborate in the implementation and coordination of the total health care regimen and execute the medical regime under the direction of a licensed physician ... Anchor will assure that nursing staff sent to care for high tech patients/ clients are competent in the specific care modality required by the patient / client."	G 158			
G 159	484.18(a) PLAN OF CARE The plan of care developed in consultation with the agency staff covers all pertinent diagnoses, including mental status, types of services and equipment required, frequency of visits, prognosis, rehabilitation potential, functional limitations, activities permitted, nutritional requirements, medications and treatments, any safety measures to protect against injury,	G 159		10/15/14	

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G 159	<p>Continued From page 19</p> <p>instructions for timely discharge or referral, and any other appropriate items.</p> <p>This STANDARD is not met as evidenced by: Based on clinical record and agency policy review and interview, the agency failed to ensure the plan of care included an order to change a tracheostomy tube treatments completed by the staff (A) for 1 of 4 clinical records reviewed (#1) of patients with outer tracheostomy tube changes the agency performed.</p> <p>Findings</p> <p>1. Clinical record #1, start of care 6/10/13, included a plan of care for the certification period of 8/4/14 - 10/2/14. Documentation evidenced Employee A had difficulty with an outer trach (tracheostomy) tube change that occurred on 9/5/14 at 11:20 AM. This was documented by Employee A on a clinical note dated 9/5/14 at 11:20 AM and on a treatment flow sheet.</p> <p>A. The plan of care failed to include physician orders for a outer trach tube change that occurred on 9/5/14. This unsigned modified order had not been presented to the physician until 9/25/14 and was not signed by the physician at that time.</p> <p>1.) A clinical document titled "Modified Orders" with a date of 8/4/14 stated, "Addendum to plan of care 8/4/14 - 10/2/14: SN [Skilled Nurse] Trach Care; change monthly, inner cannula."</p> <p>2.) On 9/24/14 at 5:20 PM, Employee A indicated performing an outer trach tube change</p>	G 159			

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G 159	<p>Continued From page 20</p> <p>on 9/5/14 at approximately 11:20 AM. Employee A indicated that after he pulled out the outer trach tube he encountered difficulty reinserting the new outer trach tube due to a coughing spell by patient #1. He called 911. He lowered the bed for the procedure. The patient's blood pressure was 95 / 63 and oxygen saturation rate was dropping so he had the oxygen turned all the way up. He had attached a nebulizer airway at the T on the circuit and partially reinserted the outer trach tube to get air to the patient. When the emergency responders arrived, they ventilated the patient with an ambu bag at the patient's mouth and nose and transported the patient to the hospital. He indicated the patient's G tube feeding had been clamped off 20 minutes prior to this incident, the head of the bed had been raised, and then lowered for this outer trach tube procedure. He indicated the outer trach tube changes had not occurred in July or August. The treatment record was used to give and note care to the patient on a daily basis by the skilled nursing staff. He would copy the treatment record from the month before to make a new treatment record for the current month. He used the plan of care from the clinical record if any treatment changes occurred. He did not know why the outer trach tube change was not on the current plan of care. He had completed many outer trach tube changes with this patient and indicated once having difficulty with this trach tube change. He did not remember when the difficulty occurred (This was not found in the clinical record).</p> <p>3.) On 9/25/14 at 5:40 PM, the administrator indicated the physician refused to sign orders presented to the physician by the marketer who had visited his office on 9/25/14</p>	G 159			

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G 159	Continued From page 21 around 5:30 PM. 4.) On 10/1/14 at 11 AM, physician's nurse and office manager (this was the physician of patient #1) indicated the above modification order was presented to the physician at his office on 9/25/14 by the agency marketer. The physician's staff indicated the physician had refused to sign the order since this was not a task (outer trach tube change) assigned to the home health agency. This order had not been given to the physician prior to this date. 2. The agency policy titled "Physician's Plan of Care" with a date of 9/17/12 stated, "It is the policy of Anchor Home Health Care that home health care services are furnished under the general supervision of a doctor of medicine ... based on a written Plan of Care that is established and periodically reviewed by the doctor to ensure the appropriateness and necessity of home care services relative to the patient's condition. All clinical services are implemented only in accordance with a plan of care established by a physician's written orders ... The physician's Plan of Care must be signed and dated within a reasonable amount of time, unless otherwise specified by state or federal regulations." 3. The agency policy titled "Verification of Physician's Orders" with a date of 9/17/12 stated, "It is the policy ... to obtain physician orders to provide patient / client treatment and services. 2. To revise, amend, or supplement the Physician's Plan of care."	G 159			
G 165	484.18(c) CONFORMANCE WITH PHYSICIAN ORDERS	G 165			10/15/14

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G 165	<p>Continued From page 22</p> <p>Drugs and treatments are administered by agency staff only as ordered by the physician.</p> <p>This STANDARD is not met as evidenced by: Based on clinical record review, policy review, and interview, the agency failed to ensure visits and treatments were provided only as ordered on the plan of care for 1 of 7 records reviewed of patients with a tracheostomy (#1).</p> <p>Findings</p> <p>1. Clinical record #1, start of care 6/10/13, included a plan of care for the certification period of 8/4/14 - 10/2/14. Documentation evidenced Employee A had difficulty with an outer trach (tracheostomy) tube change that occurred on 9/5/14 at 11:20 AM. This was documented by Employee A on a clinical note dated 9/5/14 at 11:20 AM and on a treatment flow sheet.</p> <p>A. The plan of care failed to include physician orders for a outer trach tube change that occurred on 9/5/14. This unsigned modified order had not been presented to the physician until 9/25/14 and was not signed by the physician at that time.</p> <p>1.) A clinical document titled "Modified Orders" with a date of 8/4/14 stated, "Addendum to plan of care 8/4/14 - 10/2/14: SN [Skilled Nurse] Trach Care; change monthly, inner cannula."</p> <p>2.) On 9/24/14 at 5:20 PM, Employee A indicated performing an outer trach tube change on 9/5/14 at approximately 11:20 AM. Employee</p>	G 165			

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G 165	<p>Continued From page 23</p> <p>A indicated that after he pulled out the outer trach tube he encountered difficulty reinserting the new outer trach tube due to a coughing spell by patient #1. He called 911. He lowered the bed for the procedure. The patient's blood pressure was 95 / 63 and oxygen saturation rate was dropping so he had the oxygen turned all the way up. He had attached a nebulizer airway at the T on the circuit and partially reinserted the outer trach tube to get air to the patient. When the emergency responders arrived, they ventilated the patient with an ambu bag at the patient's mouth and nose and transported the patient to the hospital. He indicated the patient's G tube feeding had been clamped off 20 minutes prior to this incident, the head of the bed had been raised, and then lowered for this outer trach tube procedure. He indicated the outer trach tube changes had not occurred in July or August. The treatment record was used to give and note care to the patient on a daily basis by the skilled nursing staff. He would copy the treatment record from the month before to make a new treatment record for the current month. He used the plan of care from the clinical record if any treatment changes occurred. He did not know why the outer trach tube change was not on the current plan of care. He had completed many outer trach tube changes with this patient and indicated once having difficulty with this trach tube change. He did not remember when the difficulty occurred (This was not found in the clinical record).</p> <p>3.) On 9/25/14 at 5:40 PM, the administrator indicated the physician refused to sign orders presented to the physician by the marketer who had visited his office on 9/25/14 around 5:30 PM.</p>	G 165			

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G 165	Continued From page 24 4.) On 10/1/14 at 11 AM, physician's nurse and office manager (this was the physician of patient #1) indicated the above modification order was presented to the physician at his office on 9/25/14 by the agency marketer. The physician's staff indicated the physician had refused to sign the order since this was not a task (outer trach tube change) assigned to the home health agency. This order had not been given to the physician prior to this date. 2. The agency policy titled "Physician's Plan of Care" with a date of 9/17/12 stated, "It is the policy of Anchor Home Health Care that home health care services are furnished under the general supervision of a doctor of medicine ... based on a written Plan of Care that is established and periodically reviewed by the doctor to ensure the appropriateness and necessity of home care services relative to the patient's condition. All clinical services are implemented only in accordance with a plan of care established by a physician's written orders." 3. The agency policy titled "Verification of Physician's Orders" with a date of 9/17/12 stated, "It is the policy ... to obtain physician orders to provide patient / client treatment and services. 2. To revise, amend, or supplement the Physician's Plan of care." 4. The agency policy titled "Nursing Care Services" with a date of 9/1/06 stated, "Nursing care services are provided in accordance with the physician's plan of care. The Clinical supervisor or staff RN will complete the nursing initial and ongoing comprehensive assessments including	G 165			

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G 165	Continued From page 25 the OASIS data sets at appropriate time points at appropriate time points as required, develop or revise the nursing care plan, as directed by federal / state / local regulations, direct nursing care ... collaborate in the implementation and coordination of the total health care regimen and execute the medical regime under the direction of a licensed physician ... Anchor will assure that nursing staff sent to care for high tech patients/ clients are competent in the specific care modality required by the patient / client."	G 165			
G 168	484.30 SKILLED NURSING SERVICES This CONDITION is not met as evidenced by: Based on clinical record review, policy and procedure review, and interview, it was determined the agency failed to ensure skilled nursing services were provided only as ordered on the plan of care for 1 of 7 records reviewed of patients with a tracheostomy (See G 170); failed to ensure the registered nurse performed tracheostomy / ventilator care in accordance with agency policy and procedures in 1 of 1 closed record (See G 174); and failed to ensure the registered nurse communicated with the physician about tracheostomy / ventilator care being provided and coordinated care with the physician in 1 of 7 records reviewed of patients with a tracheostomy (see G 176). The cumulative effect of these systemic problems resulted in the agency being found out of compliance with the Condition of Participation 484.30 Skilled Nursing Services.	G 168		10/15/14	
G 170	484.30 SKILLED NURSING SERVICES	G 170		10/15/14	

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G 170	<p>Continued From page 26</p> <p>The HHA furnishes skilled nursing services in accordance with the plan of care.</p> <p>This STANDARD is not met as evidenced by: Based on clinical record review, policy review, and interview, the agency failed to ensure skilled nursing services were provided only as ordered on the plan of care for 1 of 7 records reviewed of patients with a tracheostomy (#1).</p> <p>Findings</p> <p>1. Clinical record #1, start of care 6/10/13, included a plan of care for the certification period of 8/4/14 - 10/2/14. Documentation evidenced Employee A had difficulty with an outer trach (tracheostomy) tube change that occurred on 9/5/14 at 11:20 AM. This was documented by Employee A on a clinical note dated 9/5/14 at 11:20 AM and on a treatment flow sheet.</p> <p>A. The plan of care failed to include physician orders for a outer trach tube change that occurred on 9/5/14. This unsigned modified order had not been presented to the physician until 9/25/14 and was not signed by the physician at that time.</p> <p>1.) A clinical document titled "Modified Orders" with a date of 8/4/14 stated, "Addendum to plan of care 8/4/14 - 10/2/14: SN [Skilled Nurse] Trach Care; change monthly, inner cannula."</p> <p>2.) On 9/24/14 at 5:20 PM, Employee A indicated performing an outer trach tube change on 9/5/14 at approximately 11:20 AM. Employee A indicated that after he pulled out the outer trach</p>	G 170			

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G 170	<p>Continued From page 27</p> <p>tube he encountered difficulty reinserting the new outer trach tube due to a coughing spell by patient #1. He called 911. He lowered the bed for the procedure. The patient's blood pressure was 95 / 63 and oxygen saturation rate was dropping so he had the oxygen turned all the way up. He had attached a nebulizer airway at the T on the circuit and partially reinserted the outer trach tube to get air to the patient. When the emergency responders arrived, they ventilated the patient with an ambu bag at the patient's mouth and nose and transported the patient to the hospital. He indicated the patient's G tube feeding had been clamped off 20 minutes prior to this incident, the head of the bed had been raised, and then lowered for this outer trach tube procedure. He indicated the outer trach tube changes had not occurred in July or August. The treatment record was used to give and note care to the patient on a daily basis by the skilled nursing staff. He would copy the treatment record from the month before to make a new treatment record for the current month. He used the plan of care from the clinical record if any treatment changes occurred. He did not know why the outer trach tube change was not on the current plan of care. He had completed many outer trach tube changes with this patient and indicated once having difficulty with this trach tube change. He did not remember when the difficulty occurred (This was not found in the clinical record).</p> <p>3.) On 9/25/14 at 5:40 PM, the administrator indicated the physician refused to sign orders presented to the physician by the marketer who had visited his office on 9/25/14 around 5:30 PM.</p>	G 170			

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G 170	<p>Continued From page 28</p> <p>4.) On 10/1/14 at 11 AM, physician's nurse and office manager (this was the physician of patient #1) indicated the above modification order was presented to the physician at his office on 9/25/14 by the agency marketer. The physician's staff indicated the physician had refused to sign the order since this was not a task (outer trach tube change) assigned to the home health agency. This order had not been given to the physician prior to this date.</p> <p>2. The agency policy titled "Physician's Plan of Care" with a date of 9/17/12 stated, "It is the policy of Anchor Home Health Care that home health care services are furnished under the general supervision of a doctor of medicine ... based on a written Plan of Care that is established and periodically reviewed by the doctor to ensure the appropriateness and necessity of home care services relative to the patient's condition. All clinical services are implemented only in accordance with a plan of care established by a physician's written orders."</p> <p>3. The agency policy titled "Verification of Physician's Orders" with a date of 9/17/12 stated, "It is the policy ... to obtain physician orders to provide patient / client treatment and services. 2. To revise, amend, or supplement the Physician's Plan of care."</p> <p>4. The agency policy titled "Nursing Care Services" with a date of 9/1/06 stated, "Nursing care services are provided in accordance with the physician's plan of care. The Clinical supervisor or staff RN will complete the nursing initial and ongoing comprehensive assessments including the OASIS data sets at appropriate time points at</p>	G 170			

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G 170	Continued From page 29 appropriate time points as required, develop or revise the nursing care plan, as directed by federal / state / local regulations, direct nursing care ... collaborate in the implementation and coordination of the total health care regimen and execute the medical regime under the direction of a licensed physician ... Anchor will assure that nursing staff sent to care for high tech patients/ clients are competent in the specific care modality required by the patient / client."	G 170			
G 174	484.30(a) DUTIES OF THE REGISTERED NURSE The registered nurse furnishes those services requiring substantial and specialized nursing skill. This STANDARD is not met as evidenced by: Based on interview, review of clinical records, and review of policies and procedures, the agency failed to ensure the registered nurse (Employee A) performed tracheostomy / ventilator care in accordance with agency procedures in 1 of 1 closed record (1). Findings 1. Clinical record #1, start of care 6/10/13 included a plan of care for the certification period of 8/4/14 - 10/2/14 that evidenced Employee A had difficulty with an outer trach [tracheostomy] tube change that occurred on 9/5/14 at 11:20 AM. This was documented by Employee A on a clinical note dated 9/5/14 at 11:20 AM and on a treatment flow sheet. During this time frame, the patient had pulse of 98. Documentation at the visit on 9/5/14 failed to evidence that a smaller trach tube	G 174		10/15/14	

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G 174	<p>Continued From page 30</p> <p>was available for patient safety if a difficulty in reinserting the outer trach tube occurred and that a manual resuscitator bag had been used. Agency policy and procedures were not followed as evidenced by the following:</p> <p>The plan of care failed to include physician orders for a outer trach tube change that occurred on 9/5/14. This unsigned modified order had not been presented to the physician until 9/25/14 and was not signed by the physician at that time.</p> <p>A. A clinical document titled "Modified Orders" with a date of 8/4/14 stated, "Addendum to plan of care 8/4/14 - 10/2/14: SN [Skilled Nurse] Trach Care; change monthly, inner cannula."</p> <p>B. On 9/24/14 at 5:20 PM, Employee A indicated performing an outer trach tube change on 9/5/14 at approximately 11:20 AM. Employee A indicated that after he pulled out the outer trach tube he encountered difficulty reinserting the new outer trach tube due to a coughing spell by patient #1. He called 911. He lowered the bed for the procedure. The patient's blood pressure was 95 / 63 and oxygen saturation rate was dropping so he had the oxygen turned all the way up. He had attached a nebulizer airway at the T on the circuit and partially reinserted the outer trach tube to get air to the patient. When the emergency responders arrived, they ventilated the patient with an ambu bag at the patient's mouth and nose and transported the patient to the hospital. He indicated the patient's G tube feeding had been clamped off 20 minutes prior to this incident, the head of the bed had been raised, and then lowered for this outer trach tube</p>	G 174			

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G 174	<p>Continued From page 31</p> <p>procedure. He indicated the outer trach tube changes had not occurred in July or August. The treatment record was used to give and note care to the patient on a daily basis by the skilled nursing staff. He would copy the treatment record from the month before to make a new treatment record for the current month. He used the plan of care from the clinical record if any treatment changes occurred. He did not know why the outer trach tube change was not on the current plan of care. He had completed many outer trach tube changes with this patient and indicated once having difficulty with this trach tube change. He did not remember when the difficulty occurred (This was not found in the clinical record). He indicated taking himself off vent and trach care of patients after this incident and told the clinical director of his request.</p> <p>C. On 9/25/14 at 5:40 PM, the administrator indicated the physician refused to sign orders presented to the physician by the marketer who had visited his office on 9/25/14 around 5:30 PM.</p> <p>D. On 10/1/14 at 11 AM, a physician's nurse and office manager indicated the above modification order was presented to the physician at his office on 9/25/14 by the agency marketer. The physician's staff indicated the physician had refused to sign the order since this was not a task [outer trach tube change] assigned to the home health agency. This order had not been given to the physician prior to this date.</p> <p>2. The following agency procedures and reference documents were not followed as evidenced below:</p>	G 174			

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G 174	<p>Continued From page 32</p> <p>A. The agency reference document titled "Emergency Procedures" from page 35 from the Anchor Home Health Care Respiratory Orientation Manual with no date stated, "Manipulation of the tube during suctioning or tracheostomy care can lead to tube displacement ... If the tracheostomy tube accidentally falls out, attempt to replace the tube immediately. In order to provide the patient with a patent airway, the most appropriate actions should be taken: 1. Replace the tracheostomy tube, using the sterile tracheostomy tube or 2. Reinsert the original tube or 3. Occlude the stoma and use the manual resuscitator bag and mask to ventilate the patient at a rate of 8 to 16 times per minute until medical assistance can be summoned ... during tube reinsertion, observe the patient's color and if possible have someone count his pulse rate. If his color is bluish or the pulse rate changes significantly, stop trying to insert the tube, occlude the stoma and ventilate with the manual resuscitator bag and mask until medical assistance can be obtained. If the patient can not breathe on his own, you must reinsert the tube within 30 seconds or ventilate until reinsertion is possible. You may want to have access to a trach tube whose size is 1 size smaller than the tube the patient uses. Inserting this tube will be easier than the standard tube if the airway is swollen."</p> <p>B. The agency procedure titled "Management of Home Ventilators" with no date stated, "To provide guidelines for home health nurses and other caregivers who care for ventilator dependent clients, to promote safety in management of high tech care in the home setting, to promote self care in the home. Applies to Registered Nurses ... Care coordination</p>	G 174			

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G 174	<p>Continued From page 33 activities including contact with physician."</p> <p>C. The agency procedure titled "Changing a Tracheostomy Tube" with no date stated, "To change the client's tracheostomy tube ... applies to Registered Nurses ... Procedure 1. Wash hands ... 2. DON clean gloves. 3. Suction the client per Tracheostomy suctioning procedure. 4. Prepare new tracheostomy tube ... 5. Cut existing tracheostomy ties; hold tube in place with non - dominant hand. 6. Pick up new tube in dominant hand. 7. Gently remove existing tracheostomy tube and insert lubricated outer cannula with obturator into stoma. Insert downward and inward. 8. Following insertion, remove obturator, insert inner cannula and 'lock' it into place. If the client is on a ventilator, reconnect within 30 seconds. 9. Secure the tube in place with clean ties and dressing per Tracheostomy Care procedure ... 12. Check cuff seal for leakage."</p> <p>D. The agency procedure titled "Tracheostomy Care" with no date stated, "This includes a comprehensive plan that includes securing the tube, inflating the cuff, maintaining patency by suctioning and ensuring communication .. to maintain airway patency."</p> <p>E. The procedure titled "Mechanical Ventilation" with no date stated, "To prevent hypoxia due to alteration or cessation of respirations. To provide uninterrupted ventilator support ... applies Registered Nurses ... Manual ventilation 1. Administer air to the lungs through resuscitation or ambu bag when needed, such as during suctioning, tracheostomy care ... during ventilator failure. 2. When using resuscitation or Ambu Bag, disconnect the ventilator circuit and connect the bag valve to the tracheotomy tube."</p>	G 174			

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G 174	Continued From page 34 F. The policy titled "Agency Compliance" with a date of 8/4/00 stated, "It is the policy ... to adhere to and be in compliance with the laws, rules, and regulations of ... all federal, state, and other regulatory bodies having jurisdiction over the home care industry." G. The agency policy titled "Physician's Plan of Care" with a date of 9/17/12 stated, "It is the policy of Anchor Home Health Care that home health care services are furnished under the general supervision of a doctor of medicine ... based on a written Plan of Care that is established and periodically reviewed by the doctor to ensure the appropriateness and necessity of home care services relative to the patient's condition. All clinical services are implemented only in accordance with a plan of care established by a physician's written orders." H. The agency policy titled "Verification of Physician's Orders" with a date of 9/17/12 stated, "It is the policy ... to obtain physician orders to provide patient / client treatment and services. 2. To revise, amend, or supplement the Physician's Plan of care." I. The agency policy titled "Nursing Care Services" with a date of 9/1/06 stated, "Nursing care services are provided in accordance with the physician's plan of care. The Clinical supervisor or staff RN will complete the nursing initial and ongoing comprehensive assessments including the OASIS data sets at appropriate time points at appropriate time points as required, develop or revise the nursing care plan, as directed by federal / state / local regulations, direct nursing care ... collaborate in the implementation and	G 174			

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G 174	Continued From page 35 coordination of the total health care regimen and execute the medical regime under the direction of a licensed physician ... Anchor will assure that nursing staff sent to care for high tech patients/ clients are competent in the specific care modality required by the patient / client."	G 174			
G 176	484.30(a) DUTIES OF THE REGISTERED NURSE The registered nurse prepares clinical and progress notes, coordinates services, informs the physician and other personnel of changes in the patient's condition and needs. This STANDARD is not met as evidenced by: Based on clinical record review, agency policy and procedure review, and interview, the agency failed to ensure the registered nurse (A) communicated with the physician about tracheostomy / ventilator care being provided and coordinated care with the physician in 1 of 7 records reviewed of patients with a tracheostomy (#1). Findings: 1. Clinical record #1, start of care 6/10/13 with a diagnosis of chronic respiratory failure, failed to evidence communication notes between the agency staff and the physician about difficulty performing outer tracheostomy (trach) tube changes with patient #1. 2. On 9/25/14 at 5:20 PM, Employee A, Registered Nurse, indicated having difficulties with the outer trach tube change with patient #1 in the past.	G 176		10/15/14	

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NAME OF PROVIDER OR SUPPLIER ANCHOR HOME HEALTH CARE			STREET ADDRESS, CITY, STATE, ZIP CODE 1351 SILHAVY RD STE 200 VALPARAISO, IN 46383		
(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETION DATE	
G 176	Continued From page 36 3. On 10/1/14 at 11 AM, a physician's nurse and office manager indicated the physician had not been notified that the agency was performing outer trach tube changes including the outer trach tube change on 9/5/14 by Employee A. The physician was the physician for patient #1. 4. The agency policy titled "Coordination of Care" with a date of 3/1/04 stated, "It is the policy of Anchor to provide coordination of care for all patients ... The clinical coordinator, clinical supervisor, or designated primary RN ... acts as the case manager to coordinate services to implement the physician's plan of care through out the treatment plan." 5. The agency procedure titled "Management of Home Ventilators" with no date stated, "To provide guidelines for home health nurses and other caregivers who care for ventilator dependent clients, to promote safety in management of high tech care in the home setting, to promote self care in the home. Applies to Registered Nurses ... Care coordination activities including contact with physician."	G 176			